

## Electronic Acknowledgement Receipt

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|---|---|
| <b>EFS ID:</b>                              | 4413402   |
| <b>Application Number:</b>                  | 10615250  |
| <b>International Application Number:</b>    |   |
| <b>Confirmation Number:</b>                 | 8151  |
| <b>Title of Invention:</b>                  | Method and system for providing principal protection exposure to equity markets |
| <b>First Named Inventor/Applicant Name:</b> | Yi Tso  |
| <b>Customer Number:</b>                     | 32361   |
| <b>Filer:</b>                               | Barry J. Schindler/Christine Lucas  |
| <b>Filer Authorized By:</b>                 | Barry J. Schindler  |
| <b>Attorney Docket Number:</b>              | 06878.114001  |
| <b>Receipt Date:</b>                        | 08-DEC-2008   |
| <b>Filing Date:</b>                         | 08-JUL-2003   |
| <b>Time Stamp:</b>                          | 15:42:18  |
| <b>Application Type:</b>                    | Utility under 35 USC 111(a)   |

### Payment information:

|  |                 |
|--|-----------------|
| Submitted with Payment                   | yes             |
| Payment Type                             | Deposit Account |
| Payment was successfully received in RAM | \$1300          |
| RAM confirmation Number                  | 1135            |
| Deposit Account                          | 501561          |
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### File Listing:

| Document Number  | Document Description                               | File Name    | File Size(Bytes)/<br>Message Digest               | Multi Part /.zip | Pages (if appl.) |
|--|--|--------------|---|------------------|------------------|
| 1  |  | tso_rce.pdf  | 470469<br>118a11780ab7485404af9cd5d8191326a3c05de | yes              | 13               |
| <b>Multipart Description/PDF files in .zip description</b> |  |              |   |                  |                  |
|  | <b>Document Description</b>                        |              | <b>Start</b>                                      | <b>End</b>       |                  |
|  | Miscellaneous Incoming Letter                      |              | 1   | 1                |                  |
|  | Extension of Time                                  |              | 2   | 2                |                  |
|  | Request for Continued Examination (RCE)            |              | 3   | 4                |                  |
|  | Amendment Submitted/Entered with Filing of CPA/RCE |              | 5   | 5                |                  |
|  | Claims   |              | 6   | 9                |                  |
|  | Applicant Arguments/Remarks Made in an Amendment   |              | 10  | 13               |                  |
| <b>Warnings:</b>   |  |              |   |                  |                  |
| <b>Information:</b>  |  |              |   |                  |                  |
| 2  | Fee Worksheet (PTO-06)                             | fee-info.pdf | 31869<br>83f860d25c31584a54e9a86ac36222491c78be   | no               | 2                |
| <b>Warnings:</b>   |  |              |   |                  |                  |
| <b>Information:</b>  |  |              |   |                  |                  |
| <b>Total Files Size (in bytes):</b>                        |  |              | 502338  |                  |                  |

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**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.